

**WORKSHEET 2: CONTRACTOR LABOR REVIEW****Grantee/ Recipient/ Subrecipient:**                      **Project ID:**                      **Monitor:**                      **Date Completed:****Contractor:**

Requirements	Response	Issue Type	Comments
6. Was a "Verification of Wage Decision" form executed by all grantees/subrecipients prior to the start date of the contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
7. If additional worker classifications have been requested, were the appropriate WVDO procedures followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	

## WORKSHEET 3: CONTRACTOR SUPPORT DOCUMENTATION/ALLOWABLE COSTS REVIEW

**Grantee/ Recipient/ Subrecipient:** \_\_\_\_\_ **Project ID:** \_\_\_\_\_ **Monitor:** \_\_\_\_\_ **Date Completed:** \_\_\_\_\_

**Contractor:** \_\_\_\_\_

Requirement	Response	Issue Type	Comments
<b>Monitoring Instructions:</b> Review the Grantee/ Recipient/ Subrecipient's Financial Management Policies and Procedures. Then, select an invoice sample based on transaction-based sampling methodology for the Contractor being reviewed. Answer each question as directed and mark "N/A", "Finding", or "Concern" to identify any issues, as applicable. Provide comments for your responses in the identified areas.			

*THIS WORKSHEET SHOULD BE COMPLETED FOR EACH CONTRACT WITHIN THE SELECTED SAMPLE.*

Once all Worksheets are completed, execute Section 9 of the WVDO PIPP Compliance Monitoring Project Checklist.

### Documents Required:

- Contract
- Required Invoices for each contractor within contract sample<sup>1</sup>
  - Use the transaction-based sampling methodology to determine the number of invoices that must be reviewed:
    - Less than 20 invoices have been submitted during the period, select 3
    - If 20 - 49 invoices have been submitted during the period, select 5
    - If 50 - 99 invoices have been submitted during the period, select 10
- Supporting Documentation for each invoice reviewed

<sup>1</sup>If no contractors are used to execute the project, Grantee/ Recipient/ Subrecipient documentation identifying use of resources and invoices for supplies, materials, etc. is required to be submitted.

### Support Documentation/Allowable Costs Review

1. Is all or a part of the period covered by first invoice prior to the Contract Effective Date? <i>Notate Period covered by first invoice and contract effective date</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
2. Invoice Review – Invoice Number	N/A	N/A	
2.1. Date Submitted:	N/A	N/A	
2.2. Submitted by:	N/A	N/A	
2.3. Date Approved:	N/A	N/A	
2.4. Approved by:	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> N/A <input type="checkbox"/> Finding	
2.5. Are Costs Allowable? (Refer to Note 1 below for guidance)	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
2.6. Is the Support Documentation Sufficient? (Refer to Note 2 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
3. Invoice Review – Invoice Number	N/A	N/A	
3.1. Date Submitted:	N/A	N/A	
3.2. Submitted by:	N/A	N/A	
3.3. Date Approved:	N/A	N/A	
3.4. Approved by:	<input type="checkbox"/> N/A <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> N/A <input type="checkbox"/> N/A <input type="checkbox"/> Finding	
3.5. Are Costs Allowable? (Refer to Note 1 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	

WORKSHEET 3: CONTRACTOR SUPPORT DOCUMENTATION/ALLOWABLE COSTS REVIEW			
Grantee/ Recipient/ Subrecipient:	Project ID:	Monitor:	Date Completed:
Contractor:			
Requirement	Response	Issue Type	Comments
3.6. Is the Support Documentation Sufficient? (Refer to Note 2 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
4. Invoice Review – Invoice Number	N/A	N/A	
4.1. Date Submitted:	N/A	N/A	
4.2. Submitted by:	N/A	N/A	
4.3. Date Approved:	N/A	N/A	
4.4. Approved by:	N/A	N/A	
4.5. Are Costs Allowable? (Refer to Note 1 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
4.6. Is the Support Documentation Sufficient? (Refer to Note 2 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
5. Invoice Review – Invoice Number	N/A	N/A	
5.1. Date Submitted:	N/A	N/A	
5.2. Submitted by:	N/A	N/A	
5.3. Date Approved:	N/A	N/A	
5.4. Approved by:	N/A	N/A	
5.5. Are Costs Allowable? (Refer to Note 1 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
5.6. Is the Support Documentation Sufficient? (Refer to Note 2 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
6. Invoice Review – Invoice Number	N/A	N/A	
6.1. Date Submitted:	N/A	N/A	
6.2. Submitted by:	N/A	N/A	
6.3. Date Approved:	N/A	N/A	
6.4. Approved by:	N/A	N/A	
6.5. Are Costs Allowable? (Refer to Note 1 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
6.6. Is the Support Documentation Sufficient? (Refer to Note 2 below for guidance)	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	

**Note 1: A cost is allowable under the CDBG program if:**

- The expenditure is necessary, reasonable, and directly related to the grant.
- The expenditure has been authorized by the Grantee/ Recipient/ Subrecipient (the city or county that provides the CDBG funds to the Grantee/ Recipient/ Subrecipient), generally through approval of the budget for the activity.
- The expenditure is not prohibited under Federal, state, or local laws or regulations (2 CFR 200.405).
- The expenditure is consistently treated, in the sense that the Grantee/ Recipient/ Subrecipient applies generally accepted accounting standards in computing the cost, and utilizes the same procedures in calculating costs as for its non-Federally assisted activities.
- The cost must be allocable to the CDBG program. A cost is allocable to a particular cost objective (e.g., grant, program, or activity) in proportion to the relative benefits received by that objective.

**Note 2: Sufficient Support Documentation**

- **Payrolls:** Source documentation should include employment letters and all authorizations for rates of pay, benefits, and employee withholdings. Such documentation might include union agreements or minutes from board of directors' meetings where salary schedules and benefit packages are established, copies of written personnel policies, W-4 forms, etc. For staff time charged to the CDBG program activity, **time and attendance records should be available**. If an employee's time is split between CDBG and another funding source, there must be time distribution records supporting the allocation of charges among the sources. Canceled checks from the employees, insurance provider, etc., or evidence of direct deposits will document the actual outlay of funds.
- **Cost of space and utilities:** Space costs must be supported by documentation such as rental or lease agreements. Utility costs will be supported by bills from the utility companies. Both types of expenses will be supported by canceled checks. If the cost of space or utilities is split between the CDBG program and other sources, there must be a reasonable method in place to allocate the charges fairly among the sources, consistent with the guidelines covering allocable costs.
- **Supplies:** Documentation would include purchase orders or requisition forms initiated by an authorized representative of the Grantee/ Recipient/ Subrecipient, an invoice from the vendor (which has been signed-off by the Grantee/ Recipient/ Subrecipient to indicate the goods were received), the canceled check from the vendor demonstrating payment was made, and information regarding where the supplies are being stored and for what cost objective(s) they are being used.



## WORKSHEET 4: SECTION 3 COMPLIANCE

<b>Grantee/ Recipient/ Subrecipient:</b>	<b>Project ID:</b>	<b>Monitor:</b>	<b>Date Completed:</b>
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**Contractor:**

Requirement	Response	Issue Type	Comments
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**Description:** Section 3 of the Housing and Urban Development Act of 1968 [12 U.S.C. 1701u and 24 CFR Part 135] is HUD's legislative directive for providing preference to low- and very low-income residents of the local community (regardless of race or gender), and the businesses that substantially employ these persons, for new employment, training, and contracting opportunities resulting from HUD-funded projects. A "covered project" is a project for which Section 3 applies. "Covered funds" are those funds used to fund a "covered project".

*Section 3 Residents are:*

- Residents of Public and Indian Housing, or
- Individuals that reside in the metropolitan area or nonmetropolitan county in which the Section 3 covered assistance is expended and whose income does not exceed the local HUD income limits set forth for low- or very low-income households.

*Section 3 Business Concerns are One of the Following:*

- Businesses that are 51 percent or more owned by Section 3 residents;
- Businesses with 30 percent or more permanent, full-time employees whom are currently Section 3 residents, or were Section 3 residents within three years of the date of first employment; or
- Businesses that provide evidence of a commitment to subcontract in excess of 25 percent of the dollar amount of all subcontracts to be awarded to businesses that meet the qualifications described above.

### Monitoring Instructions:

Complete the following questions by marking the appropriate box for "Yes", "No", or "N/A". As applicable, mark "N/A", "Finding" or "Concern" to identify any issues. Provide comments describing the basis for your response in the space provided.

### Required:

- Knowledge of Grantee/ Recipient/ Subrecipient's total allocation and all project activities
- Executed Worksheet 1 for the contractor (or the applicable procurement solicitation)
- Contract
- Contractor's Section 3 Plan

<p>1. Has the Grantee/ Recipient/ Subrecipient allocated \$200,000 or more DR-CDBG funds into projects/activities involving housing construction, demolition, rehabilitation, or other public construction—i.e., roads, sewers, community centers, etc.? (See the Core Checklist, Section 5.5.)</p> <p><i>If no, the remaining questions within Worksheet 4 are not applicable.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
<p>2. Was a Section 3 clause included in the procurement solicitation for this contractor? (See Worksheet 1, Procurement Requirements: Question 43)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
<p>3. Was a Section 3 clause included in this contractor's contract? (See Worksheet 1, Contract Requirements: Question 6.5)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	

### WORKSHEET 4: SECTION 3 COMPLIANCE

<b>Grantee/ Recipient/ Subrecipient:</b>	<b>Project ID:</b>	<b>Monitor:</b>	<b>Date Completed:</b>
<b>Contractor:</b>			
Requirement	Response	Issue Type	Comments
4. Has the contractor been allocated \$100,000 or more DR-CDBG funds into projects/activities involving housing construction, demolition, rehabilitation, or other public construction—i.e., roads, sewers, community centers, etc.? <i>If no, the remaining questions within this Section are not applicable.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
5. Does the contractor have written procedures (i.e., “Section 3 Plan”) governing how Section 3 residents are to be notified about employment and training opportunities generated by program participant or its contractors as a result of the expenditure of covered financial assistance? [24CFR 135.32 (a)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
6. Does the contractor have written procedures (i.e., “Section 3 Plan”) governing how Section 3 <b>business concerns</b> are to be notified about contracting (or subcontracting) opportunities generated by the program participant or its contractors involving covered financial assistance? [24 CFR 135.32 (a)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
7. Does the contractor have written procedures (i.e., “Section 3 Plan”) governing how potential contractors for covered projects or subrecipients of covered funds are to be notified about their requirements pursuant to Section 3? [24 CFR 135.32(b) and 24 CFR 135.32(f)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
8. Does the contractor have written procedures (i.e., “Section 3 Plan”) governing how covered subcontractors are to be monitored for compliance with the requirements of Section 3? [24 CFR 135.32(d) and 24 CFR 135.32(f)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
9. Does the Grantee/ Recipient/ Subrecipient have written procedures (i.e., “Section 3 Plan”) describing the steps taken to facilitate meeting the minimum numerical goals for employment and contracting opportunities? [24 CFR 135.32(c)]	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
10. <b>New Hire Goal</b> – Has the contractor hired employees to work on this project?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
10.1. If yes, were at least 30% of the new hires Section 3 residents?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	

### WORKSHEET 4: SECTION 3 COMPLIANCE

<b>Grantee/ Recipient/ Subrecipient:</b>	<b>Project ID:</b>	<b>Monitor:</b>	<b>Date Completed:</b>
<b>Contractor:</b>			
<b>Requirement</b>	<b>Response</b>	<b>Issue Type</b>	<b>Comments</b>
10.2. If Question 10.1 is "No", has the contractor demonstrated that, to the greatest extent feasible, they have made an effort to ensure that the employment objectives of their Section 3 plan are met?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
11. <b><u>Contracting Goal</u></b> - Has the contractor entered into any contracts to execute this Project?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
11.1. If question 11 is "Yes", was at least 10% of the total construction contract amount awarded to Section 3 construction contractors and at least 3% of the total non-construction contract amount awarded to Section 3 businesses?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	
11.2. If Question 11.1 is "No", has the contractor demonstrated that, to the greatest extent feasible, it has made an effort to ensure that the contracting objectives of its Section 3 Plan are met?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> N/A <input type="checkbox"/> Finding <input type="checkbox"/> Concern	



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***West Virginia Development Office***

EXHIBIT 5

***Sample Contract Administration Form***

***Revised March 1, 2017***

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*This form may be used by the Grantee to assist in managing their contracts. A file should be created for each contractor to maintain all applicable documents as listed within Section 4 of the WVDO Disaster Recovery CDBG Monitoring Plan and Procedures. Procurement of each contractor must be performed according to all applicable rules and regulations. See Section 6 of the WVDO Disaster Recovery CDBG Monitoring Plan and Procedures.*

<b>1. Contractor Name:</b>	
<b>2. Contract Number:</b>	
<b>3. Contractor Contact Info:</b>	(NAME) (PHONE)
(ADDRESS)	
<b>4. Grantee Contract Administrator:</b>	
<b>5. Contract Start Date:</b>	
<b>6. Contract End Date:</b>	
<b>7. Max Contract Value:</b>	
<b>8. Provide a Brief Description of the Scope of Services:</b>	
<b>9. List Scope of Services Requirements:</b>	
<i>Requirement</i>	<i>Completed?</i>
a.	<input type="checkbox"/> Yes <input type="checkbox"/> No
b.	<input type="checkbox"/> Yes <input type="checkbox"/> No
c.	<input type="checkbox"/> Yes <input type="checkbox"/> No
d.	<input type="checkbox"/> Yes <input type="checkbox"/> No
e.	<input type="checkbox"/> Yes <input type="checkbox"/> No
f.	<input type="checkbox"/> Yes <input type="checkbox"/> No
g.	<input type="checkbox"/> Yes <input type="checkbox"/> No
h.	<input type="checkbox"/> Yes <input type="checkbox"/> No
i.	<input type="checkbox"/> Yes <input type="checkbox"/> No
j.	<input type="checkbox"/> Yes <input type="checkbox"/> No
k.	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>10. List Contract Amendments, if any:</b>	
<i>Brief Description of Amendment</i>	<i>Date Executed</i>
a.	
b.	
c.	
d.	
f.	

**1. Contractor Name:****11. List Contract Deliverables, as applicable:**

<i>Deliverable</i>	<i>Due Date/ Frequency</i>	<i>Date Delivered</i>	<i>Delivered By</i>	<i>Accepted By</i>
a.				
b.				
c.				
d.				
e.				
f.				
g.				
h.				

**12. General Comments**



**Instructions for Contract Administration Form**

*This form may be used by the Grantee to assist in managing their contracts. A file should be created for each contractor to maintain all applicable documents listed within Section 4 of the WVDO Disaster Recovery CDBG Monitoring Plan and Procedures. Procurement of each contractor must be performed according to all applicable rules and regulations. See Section 6 of the WVDO Disaster Recovery CDBG Monitoring Plan and Procedures.*

1. Enter the Contractor's Name.
2. Enter the Contract Number.
3. List the contract information (name, address, phone number) for the contractor's primary point of contact.
4. Identify the Grantee staff responsible for administering the contract (receiving deliverables, coordinating payment processing, contract amendments, etc.).
5. Enter the Contract Start Date as provided within the contract.
6. Enter the Contract End Date as provided within the contract.
7. Enter the maximum contract value as provided within the contract. If the contract is fee-based, attach the fee schedule.
8. Briefly describe the scope of services as provided within the contract.
9. Describe each scope of services requirement.
10. List the Contract Amendment Date and a brief summary of the amendment, if applicable
11. List each deliverable from within the contract. As the Deliverables are provided, enter the date in the "Date Delivered" column. Notate the name of the contractor personnel who submitted the deliverable in the "Delivered By" column and notate the name of the Grantee personnel who accepted the Deliverable in the "Accepted By" column.
12. Provide any general comments regarding the contractor.

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*West Virginia Development Office*

EXHIBIT 6

*Monitoring Report Template*

*Revised March 1, 2017*

## Summary of Monitoring Review

Grantee Name: *List Grantee Name*

Project: *List Project ID, Project Title*

Date of Review: *List Dates that Review was Completed*

Monitor: *Monitor Name*

The following program areas were reviewed: *{REVISE accordingly}*

**Core Review** – *Procurement, contract administration, financial management, monitoring, and record keeping policies and procedures, financial management system, Section 504, etc.*

**Project Review** – *National objective/eligibility, monitoring, procurement and contract review, labor, financial management, section 3, environmental, acquisition, property management, lead-based paint, asbestos, and mold*

## Results of the Monitoring Review

The review indicated that the project has been implemented in accordance with the requirements and primary objectives of the Housing and Community Development Act and other applicable laws, with the exceptions identified herein. Although other deficiencies may exist, they were not detected during our review.

*{INSERT a summary statement of overall areas of deficiency and areas of merit}*

### Areas of Deficiency

*{INSERT a summary statement of overall areas of deficiency}*

Based on our review of documentation, we noted the following deficiencies that require corrective actions:

#### **Deficiency (1)**

**Description of Review:** *{Describe the steps taken to draw the conclusions herein}*

**Description of Finding:** *{Provide a description of the finding, including the condition, criteria, cause and effect}*

**Recommended Corrective Action:** *{Describe the steps that should be taken to remedy the finding}*

#### **Deficiency (2)**

**Description of Review:** *{Describe the steps taken to draw the conclusions herein}*

**Description of Finding:** *{Provide a brief description of the finding, including the condition, criteria, cause and effect}*

**Recommended Corrective Action:** *{Describe the steps that should be taken to remedy the finding}*

### Area(s) of Merit

*{INSERT a summary statement of overall areas of merit}*

Based on our review of documentation, we noted the following areas of merit:



**Merit (1)**

**Finding of Merit:** *{List the Checklist Section(s) that apply to the Area of Merit}*

**Description of Area of Merit:** *{Describe the Area of Merit}*

**Merit (2)**

**Finding of Merit:** *{List the Checklist Section(s) that apply to the Area of Merit}*

**Description of Area of Merit:** *{Describe the Area of Merit}*

**Conclusion:** The review of *Project Title (Project ID)* has concluded that this project has been conducted in accordance with the requirements and primary objectives of the Housing and Community Development Act (HCDA) and other applicable laws, with the exceptions identified herein.

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## EXHIBIT 7

### HUD CPD Green Building Retrofit Checklist

The CPD Green Retrofit Checklist promotes energy efficiency and green building practices for residential retrofit projects. Grantees must follow the checklist in its entirety and apply all measures within the Checklist to the extent applicable to the particular building type being retrofitted. The phrase “when replacing” in the Checklist refers to the mandatory replacement with specified green improvements, products, and fixtures only when replacing those systems during the normal course of the retrofit.

#### WATER AND ENERGY CONSERVATION MEASURES

- ☐ **Water-Conserving Fixtures**  
Install or retrofit water conserving fixtures in any unit and common facility, use the following specifications: Toilets-- 1.28 gpf; Urinals-- 0.5 gpf; Showerheads-- 2.0 gpm; Kitchen faucets-- 2.0 gpm; and Bathroom faucets-- 1.5gpm. [gpf = gallons per flush; gpm = gallons per minute]
- ☐ **ENERGY STAR Appliances**  
Install ENERGY STAR-labeled clothes washers, dishwashers, and refrigerators, if these appliance categories are provided in units or common areas.
- ☐ **Air Sealing: Building Envelope**  
Seal all accessible gaps and penetrations in the building envelope. If applicable, use low VOC caulk or foam.
- ☐ **Insulation: Attic** (if applicable to building type)  
  
For attics with closed floor cavities directly above the conditioned space, blow in insulation per manufacturer's specifications to a minimum density of 3.5 Lbs. per cubic foot (CF). For attics with open floor cavities directly above the conditioned space, install insulation to meet or exceed IECC levels.
- ☐ **Insulation: Flooring** (if applicable to building type)  
Install  $\geq$  R-19 insulation in contact with the subfloor in buildings with floor systems over vented crawl spaces. Install a 6-mil vapor barrier in contact with 100% of the floor of the crawl space (the ground), overlapping seams and piers at least 6 inches.
- ☐ **Duct Sealing** (if applicable to building type)  
In buildings with ducted forced-air heating and cooling systems, seal all penetrations of the air distribution system to reduce leakage in order to meet or exceed ENERGY STAR for Homes' duct leakage standard.
- ☐ **Air Barrier System**  
Ensure continuous unbroken air barrier surrounding all conditioned space and dwelling units. Align insulation completely and continuously with the air barrier.
- ☐ **Radiant Barriers: Roofing**  
When replacing or making a substantial repair to the roof, use radiant barrier sheathing or other radiant barrier material; if economically feasible, also use cool roofing materials.

**Windows**

When replacing windows, install geographically appropriate ENERGY STAR rated windows.

**Sizing of Heating and Cooling Equipment**

When replacing, size heating and cooling equipment in accordance with the Air Conditioning Contractors of America (ACCA) Manuals, Parts J and S, or 2012 ASHRAE Handbook--HVAC Systems and Equipment or most recent edition.

☐ **Domestic Hot Water Systems**

When replacing domestic water heating system(s), ensure the system(s) meet or exceed the efficiency requirements of ENERGY STAR for Homes' Reference Design. Insulate pipes by at least R-4.

☐ **Efficient Lighting: Interior Units**

Follow the guidance appropriate for the project type: install the ENERGY STAR Advanced Lighting Package (ALP); **OR** follow the ENERGY STAR MFHR program guidelines, which require that 80% of installed lighting fixtures within units must be ENERGY STAR-qualified or have ENERGY STAR-qualified lamps installed; **OR** when replacing, new fixtures and ceiling fans must meet or exceed ENERGY STAR efficiency levels.

☐ **Efficient Lighting: Common Areas and Emergency Lighting** (if applicable to building type) Follow the guidance appropriate for the project type: use ENERGY STAR-labeled fixtures or any equivalent high-performance lighting fixtures and bulbs in all common areas; **OR** when replacing, new common space and emergency lighting fixtures must meet or exceed ENERGY STAR efficiency levels. For emergency lighting, if installing new or replacing, all exist signs shall meet or exceed LED efficiency levels and conform to local building codes.

☐ **Efficient Lighting: Exterior**

Follow the guidance appropriate for the project type: install ENERGY STAR-qualified fixtures or LEDs with a minimum efficacy of 45 lumens/watt; **OR** follow the ENERGY STAR MFHR program guidelines, which require that 80% of outdoor lighting fixtures must be ENERGY STAR-qualified or have ENERGY STAR-qualified lamps installed; **OR** when replacing, install ENERGY STAR compact fluorescents or LEDs with a minimum efficacy of 45 lumens/watt.

## INDOOR AIR QUALITY

☐ **Air Ventilation: Single Family and Multifamily** (three stories or fewer)

Install an in-unit ventilation system capable of providing adequate fresh air per ASHRAE 62.2 requirements.

☐ **Air Ventilation: Multifamily** (four stories or more)

Install apartment ventilation systems that satisfy ASHRAE 62.2 for all dwelling units and common area ventilation systems that satisfy ASHRAE 62.1 requirements. If economically feasible, consider heat/energy recovery for 100% of corridor air supply.

☐ **Composite Wood Products that Emit Low/No Formaldehyde**

Composite wood products must be certified compliant with California 93120. If using a composite wood product that does not comply with California 93120, all exposed edges and sides must be sealed with low-VOC sealants.

☐ **Environmentally Preferable Flooring**

When replacing flooring, use environmentally preferable flooring, including the FloorScore certification. Any carpet products used must meet the Carpet and Rug Institute's Green Label or Green Label Plus certification for carpet, pad, and carpet adhesives.

**Low/No VOC Paints and Primers**

All interior paints and primers must be less than or equal to the following VOC levels: Flats--50 g/L; Non-flats--50 g/L; Floor--100 g/L. [g/L = grams per liter; levels are based on a combination of the Master Painters Institute (MPI) and GreenSeal standards.]

- ☐ **Low/No VOC Adhesives and Sealants**  
All adhesives must comply with Rule 1168 of the South Coast Air Quality Management District. All caulks and sealants must comply with regulation 8, rule 51, of the Bay Area Air Quality Management District.
- ☐ **Clothes Dryer Exhaust**  
Vent clothes dryers directly to the outdoors using rigid-type duct work.
- ☐ **Mold Inspection and Remediation**  
Inspect the interior and exterior of the building for evidence of moisture problems. Document the extent and location of the problems, and implement the proposed repairs according to the Moisture section of the EPA Healthy Indoor Environment Protocols for Home Energy Upgrades.
- ☐ **Combustion Equipment**  
When installing new space and water-heating equipment, specify power-vented or direct vent combustion equipment.
- ☐ **Mold Prevention: Water Heaters**  
Provide adequate drainage for water heaters that includes drains or catch pans with drains piped to the exterior of the dwelling.
- ☐ **Mold Prevention: Surfaces**  
When replacing or repairing bathrooms, kitchens, and laundry rooms, use materials that have durable, cleanable surfaces.
- ☐ **Mold Prevention: Tub and Shower Enclosures**  
When replacing or repairing tub and/or shower enclosures, use non-paper-faced backing materials such as cement board, fiber cement board, or equivalent in bathrooms.
- ☐ **Integrated Pest Management**  
Seal all wall, floor, and joint penetrations with low-VOC caulking or other appropriate sealing methods to prevent pest entry. [If applicable, provide training to multifamily buildings staff.]
- ☐ **Lead-Safe Work Practices**  
For properties built before 1978, if the project will involve disturbing painted surfaces or cleaning up lead contaminated dust or soil, use certified renovation or lead abatement contractors and workers using lead-safe work practices and clearance examinations consistent with the more stringent of EPA's Renovation, Repair, and Painting Rule and HUD's Lead Safe Housing Rule.
- ☐ **Radon Testing and Mitigation** (if applicable based on building location)  
For buildings in EPA Radon Zone 1 or 2, test for radon using the current edition of American Association of Radon Scientists and Technologists (AARST)'s Protocols for Radon Measurement in Homes Standard for Single-Family Housing or Duplexes, or AARST's Protocol for Conducting Radon and Radon Decay Product Measurements in Multifamily Buildings. To install radon mitigation systems in buildings with radon level of 4 pCi/L or more, use ASTM E 2121 for single-family housing or duplexes, or AARST's Radon Mitigation Standards for Multifamily Buildings. For new construction, use AARST's Reducing Radon in New Construction of 1 & 2 Family Dwellings and Townhouses, or ASTM E 1465.



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# CDBG-DR Website Maintenance Policies and Procedures (updated March 1, 2017)



West Virginia Development Office

## Procedures for Maintaining a Comprehensive Website

The West Virginia Department of Commerce (WVDOC) has a public website providing access to information and programs administered by the State. The CDBG-DR webpage [wvcommerce.org/WVDisasterRecovery](http://wvcommerce.org/WVDisasterRecovery) includes information on each of West Virginia's CDBG-DR allocations. The WVDOC will create and maintain a separate and distinct webpage on its website entitled "Disaster Recovery Programs", [www.wvcommerce.org/WVDisasterRecovery.com](http://www.wvcommerce.org/WVDisasterRecovery.com) that includes all information on disaster recovery activities assisted with CDBG-DR funds due to the June 2016 floods.

### Frequency and Procedures to Update Web Site

#### Step 1:

On at least a quarterly basis, a *Request for Content Update* form will be completed by the Director of the Economic Resiliency Unit (Director) which Unit will administer and oversee the CDBG-DR programs with review and approval by the Director of the Community Advancement & Development Unit.

#### Step 2:

If the *Request for Content Update* is approved, the Director will forward the approved request to the WVDOC's Office of Marketing & Communications (the agency who manages all West Virginia websites), which will then update the webpage within 48 hours upon receipt of the form.

#### Step 3:

The assigned Project Manager within the WVDOC Office of Marketing & Communications will perform monthly tests of the Disaster Recovery Program webpage to ensure all links are active and documents are current.

Information pertaining to recovery from the 2016 June Floods posted to the webpage shall include, but is not limited to:

- Action Plan for Disaster Recovery
- Amendments to the Action Plan
- Performance Reports (i.e., Quarterly Performance Reports)
- Citizen Participation Plan and all requirements
- Activity/Program information for activities described in the Action Plan and all amendments thereto
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- program design
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## Program Activities Information

Program announcements and details of activities will be posted to the website on a continuing basis. Links will be provided detailing program background information, strategies, intended accomplishments, and press releases for updates as well as the following:

- Summary of the program
- Eligible participants
- Developer Information
- Vendor Information
- Management Information

Program guidebooks and manuals will be posted to the website in English and made available in other languages for limited English proficiency audiences.





**CDBG-DR Policies and Procedures  
for Providing Timely Information  
on Application Status  
2017**

## Overview

The State of West Virginia received \$104,280,000 in CDBG - DR funding from HUD for recovery programs stemming from Federal Disaster 4273 (CDBG-DR Program or Program). The CDBG-DR Program will be administered by the West Virginia Department of Commerce (WVDOC); specifically, the Community Advancement and Development Unit / Economic Resiliency Unit (CAD/ERU). To ensure that fraud, waste, and misuse of funds does not occur, effective controls must be in place and monitored for compliance. This specific policy and set of procedures will be utilized by CAD/ERU to ensure timely information regarding application status is provided to applicants of the CDBG-DR Program.

The CAD/ERU which oversees the CDBG-DR Program will be primarily responsible for the tasks described herein. The Program Managers within CAD/ERU will also be required to provide weekly updates regarding applications within the CDBG-DR Programs the Manager oversees.

## Background

West Virginia will ensure the requirements set forth under 81 FR 83254 and 82 FR 5591 are complied with by following the specific procedures outlined below. Two primary considerations are:

- *Timely information on application status.* West Virginia will maintain adequate procedures to inform applicants of the status of their applications for recovery assistance, at all phases of program activities. Given the various methods of communication allowed, the State will (i.e., Web site, telephone, case managers, letters, etc.) ensure the accessibility and privacy of individualized information for all applicants, indicate the frequency of applicant status updates and identify which personnel or unit is responsible.
- *Application status.* West Virginia shall ensure that multiple methods of communications are provided for a program applicant to receive information regarding the status of their application. Methods of communication, such as Web sites, toll-free numbers, or other means that provide applicants for recovery assistance with timely information on the status of their application shall be continuously provided for the duration of all CDBG-DR program activities.

## Defining an Applicant

An applicant can be defined as any citizen or entity which has submitted an application for CDBG-DR or participation in a CDBG-DR Program. Applicants include but are not limited to homeowners, rental property owners, businesses, citizens, and local units of government.

## Disaster Recovery Intake Centers

Disaster Recovery Intake Centers, which provide a physical office location for applicant engagement and application processing, will be established throughout the declared disaster area. These locations can be utilized by applicants to submit applications or provide supplemental information regarding program implementation.



## Methods for Communication

Upon submitting an application, should an applicant have questions, concerns, need to schedule consultation, or want to check the status of an application, the following methods of communication will be available:

1. *wvGMS Smartphone App*: Applicants will be encouraged to download the smartphone app to submit their application and access real-time updates on their application. wvGMS functions as the portal that connects the applicant to their assigned case manager via the cell phone app and a website.
  - a. NOTE: Applicants can also sign up to receive text message and/or e-mail alerts on the status of their application once they've applied.
2. *wvGMS Website*: If applicants do not have access to a smartphone they may visit the website version of the application at [wvcommerce.org/WVDisasterRecovery](http://wvcommerce.org/WVDisasterRecovery). The website functions as the web version of the smartphone app.
3. *Case Manager*: All applicants will be assigned a case manager once they submit their application to the program. The direct contact information of the assigned case manager (office phone number and e-mail address) will be shared with the applicant. This will ensure that applicants have one point of contact throughout the program.
4. *Toll-free number*: If applicants do not have access to a smartphone or a computer they may dial the toll-free number 800-982-3386 or (304) 558-2234 to assistance which will connect the caller to the program call center. The program call center will be able to provide application status updates and answer general program questions. If an applicant has specific application questions the call center will transfer the call to the applicant's assigned case manager.
5. *Email*: Applicants may send an email to [DisasterRecovery@WV.gov](mailto:DisasterRecovery@WV.gov) to obtain the status of their application and submit general program questions. The email inbox will be monitored by program staff on a daily basis. Questions specific to one application will be forwarded to the assigned case manager.
6. *Mail*: Applicants may submit written correspondence to request the status of their application and general program questions to:

West Virginia Development Office  
1900 Kanawha Blvd., East Capitol Complex  
Building 6, Room 553  
Charleston, WV 25305-0311

## Accessibility of Information

Information regarding the Disaster Recovery programs will be accessible on the website ([wvcommerce.org/WVDisasterRecovery](http://wvcommerce.org/WVDisasterRecovery)) and at all of the Disaster Recovery Intake Centers. Printed



materials will be available at the Disaster Recovery Intake Centers. (Note: Information will also be available via mail or email upon request as indicated above.)

Equal opportunity will be given in each program or project outlined within the CDBG – DR Action Plan. The CAD/ERU conducted a Four-Factor Analysis and determined the ensuing types of language assistance for LEP persons to be available on an as needed basis throughout the implementation of the CDBG-DR program.

- a) Access will be provided, upon request, to any applicants who are unable to speak, read, or understand the English language sufficiently enough to allow effective interaction.
- b) Language assistance consists of translation and/or interpretation. Translation is defined as the conversion of the written text from one language into another, whereas interpretation comprises of the transfer of the word orally from one language into another.
- c) The CAD/ERU will take necessary steps to aid LEP citizens upon deeming that language assistance is needed. Services supplied to LEP citizens will be free of cost. Because the portion of citizens within the Declared Counties unable to speak English very well has been established to be miniscule, translation resources will be available as needed.
- d) Document translation will be made available upon request for languages other than Spanish. Formal and legal documents essential for program participation such as mortgages may be translated as necessary for applicants to thoroughly understand their rights and obligations.
- e) Interpretation services will be provided by CAD/ERU when deemed necessary for LEP citizens. Citizens will be encouraged to use family members, friends, service representatives or others as informal interpreters. The use of informal interpreters is acceptable; however, an LEP citizen possesses the right not to be required to rely on informal interpreters.

The CAD/ERU will also provide materials in accessible format in accordance with the Americans with Disabilities Act.

### Protecting Applicant Privacy

The State of West Virginia hereby guarantees the protection of applicant Personally Identifiable Information (PII). Employees will enact necessary measures to ensure PII of all applicants is safeguarded as to avoid release of private information. If a contractor or employee should experience any loss or potential loss of PII, CAD/ERU shall be notified within 3 hours of the breach or potential breach. Potential losses of PII may occur in forms such as:

- loss of a computer or electronic device containing PII,
- loss or compromise of paper containing PII, or
- loss of electronic communication containing PII

If CAD/ERU should be notified of loss or potential loss of PII, efforts will be undertaken on a case-by-case basis to ensure the recovery of said information.

The Director and employees treat all information received confidentially. CAD/ERU requires all employees to sign a Confidentiality Agreement upon employment by the Agency and shall adhere to

the agreement and all regulations set forth by the West Virginia Executive Branch Confidentiality Agreement and the WV Ethics Act.

#### *Privacy Protection of Information Recorded in Physical Copy (Mail or Letter Applications)*

Locks will be maintained at all intake centers and shall be closed and locked in the evenings or when vacant. Keys to intake centers will only be given to authorized personnel and staff.

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CAD/ERU utilizes encrypted passwords to restrict access to application software and data. Only duly authorized responsible personnel with data input responsibilities will be assigned passwords that allow access to the system.

Personnel responsible for handling applications are expected to keep their passwords secret and to change their passwords on a regular basis as determined by WV Office of Technology (WV OT) and wvOasis. Each password enables a user to gain access to only those software and data files necessary for each employee's required duties. Unnecessary access will be rescinded.

### **Frequency of Status Updates**

The CAD/ERU will ensure that information related to the status of applications will be provided in a timely manner. Status of applications will be provided in real-time or a traditional schedule depending on the method of contact chosen by the applicant at the time of their application to the program.

- *Real-Time.* If an applicant has access to a mobile device or a computer, they may voluntarily choose to receive real-time text message and/or e-mail alerts from the mobile app regarding application status. These updates are automatically generated by the app and the frequency of the subscription service is dictated by the applicant.
- *Traditional.* If an applicant does not have access to a mobile device they may prefer to submit questions via the toll-free number or regular U.S. mail. If questions are submitted via the toll-free number or mail, West Virginia will provide status updates within 24 hours of their receipt.

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### **Responsible Personnel**

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